

Docket No. 219713US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) -Shigeru KAWANAKA

SERIAL NO: New Application

FILING DATE: Herewith

FOR: SEMICONDUCTOR MEMORY DEVICE AND ITS MANUFACTURING METHOD

Jc997 U.S. PRO  
10/075464  
02/15/02

FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

| FOR   | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE      | CALCULATIONS |
|---|-----------------|-----------------|-----------|--------------|
| TOTAL CLAIMS  | 20 - 20 =       | 0               | × \$18 =  | \$0.00       |
| INDEPENDENT CLAIMS  | 3 - 3 =         | 0               | × \$84 =  | \$0.00       |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)    |                 |                 | + \$280 = | \$0.00       |
| <input type="checkbox"/> LATE FILING OF DECLARATION                   |                 |                 | + \$130 = | \$0.00       |
| BASIC FEE   |                 |                 |           | \$740.00     |
| TOTAL OF ABOVE CALCULATIONS   |                 |                 |           | \$740.00     |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY. |                 |                 |           | \$0.00       |
| <input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE               |                 |                 | + \$130 = | \$0.00       |
| <input checked="" type="checkbox"/> RECORDATION OF ASSIGNMENT         |                 |                 | + \$40 =  | \$40.00      |
| TOTAL   |                 |                 |           | \$780.00     |

- ☐ Please charge Deposit Account No. 15-0030 in the amount of A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$780.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030.  
A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Date:

2/15/02

Marvin J. Spivak

Registration No. 24,913

C. Irvin McClelland  
Registration Number 21,124



22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/01)

02/15/02

J1132 U.S. PTO

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 219713US2

First Inventor or Application Identifier Shigeru KAWANAKA

Title SEMICONDUCTOR MEMORY DEVICE AND ITS MANUFACTURING METHOD

Assignee Name: KABUSHIKI KAISHA TOSHIBA

Assignee Address: 1-1, Shibaura 1-Chome, Minato-Ku, Tokyo, Japan

APPLICATION ELEMENTS  
See MPEP chapter 600 concerning utility patent application contentsADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 202311. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)2. ☒ Specification Total Sheets 203. ☒ Formal Drawing(s) (35 U.S.C. 113) Total Sheets 10☒ Oath or Declaration Total Pages 3a. ☒ Newly executed (original)b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 17 completed)i. ☐ DELETION OF INVENTOR(S)Signed statement attached deleting inventor(s) named in  
the prior application, see 37 C.F.R. §1.63(d)(2) and  
1.33(b).☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)a. ☐ Computer Readable Form (CRF)

b. Specification or Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); orii. ☐ Paperc. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s)) ✓8. ☒ Application Data Sheet. See 37 CFR 1.769. ☐ 37 C.F.R. §3.73(b) Statement Power of  
(when there is an assignee) Attorney10. ☐ English Translation Document (if applicable)11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS  
Citations (3)12. ☐ Preliminary Amendment13. ☒ White Advance Serial No. Postcard14. ☒ Certified Copy of Priority Document(s) (1)  
(if foreign priority is claimed)15. ☐ Applicant claims small entity status.  
See 37 CFR 1.2716. ☒ Other: Request for Priority,  
Statement of Relevancy,  
IDS/List of Related Cases,  
Cited Pending Applications (2)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation☐ Divisional☐ Continuation-in-part (CIP)

of prior application no.:

Prior application information:

Examiner:

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is  
considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon  
when a portion has been inadvertently omitted from the submitted application parts.

18. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
of application Serial No. Filed on☐ Which was published in English☐ Which was not published in English☐ This application claims priority of provisional application Serial No. Filed

## 19. CORRESPONDENCE ADDRESS



22850

(703) 413-3000

FACSIMILE: (703) 413-2220

|            |                     |                   |         |
|------------|---------------------|-------------------|---------|
| Name:      | Marvin J. Spivak    | Registration No.: | 24,913  |
| Signature: |                     | Date:             | 2/15/02 |
| Name:      | C. Irvin McClelland | Registration No.: | 21,124  |

Docket No. 219713US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Shigeru KAWANAKA

SERIAL NO: New Application

FILING DATE: Herewith

FOR: SEMICONDUCTOR MEMORY DEVICE AND ITS MANUFACTURING METHOD

FEE TRANSMITTAL


ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

| FOR  | NUMBER<br>FILED | NUMBER<br>EXTRA | RATE      | CALCULATIONS |
|--|-----------------|-----------------|-----------|--------------|
| TOTAL CLAIMS   | 20 - 20 =       | 0               | × \$18 =  | \$0.00       |
| INDEPENDENT CLAIMS   | 3 - 3 =         | 0               | × \$84 =  | \$0.00       |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)   |                 |                 | + \$280 = | \$0.00       |
| <input type="checkbox"/> LATE FILING OF DECLARATION                  |                 |                 | + \$130 = | \$0.00       |
| BASIC FEE  |                 |                 |           | \$740.00     |
| TOTAL OF ABOVE CALCULATIONS  |                 |                 |           | \$740.00     |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY |                 |                 |           | \$0.00       |
| <input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE              |                 |                 | + \$130 = | \$0.00       |
| <input checked="" type="checkbox"/> RECORDATION OF ASSIGNMENT        |                 |                 | + \$40 =  | \$40.00      |
| TOTAL  |                 |                 |           | \$780.00     |

- ☐ Please charge Deposit Account No. 15-0030 in the amount of \_\_\_\_\_ A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$780.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Marvin J. Spivak

Registration No. 24,913

C. Irvin McClelland  
Registration Number 21,124

Date: 2/15/02



22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/01)